

3 DAE
11/11

PETITION FOR REVIVAL OF AN APPLICATION FOR PATENT ABANDONED
UNINTENTIONALLY UNDER 37 CFR 1.137(b)

Docket Number (Optional)
064.0001 (026732.00011)

First named inventor: Joseph A. Grundfest et al.

Application No.: 09/718,097

Group Art Unit: 3621

Filed: November 22, 2000

Examiner: S. CANGIALOSIS

Title: SYSTEM AND METHOD FOR FACILITATING TRANSACTION PROCESSING AND DISPOSITION
WITHIN AN ACCESS CONTROLLED ENVIRONMENT VIA A GLOBAL NETWORK SUCH AS THE
INTERNET

Mail Stop: Petitions
Director of the U.S. PTO
P.O. Box 1450
Alexandria, VA 22313-1450

NOTE: If information or assistance is needed in completing this form, please contact
Petitions Information at (703)305-9282.

The above-identified application became abandoned for failure to file a timely and proper reply to a notice
or action by the United States Patent and Trademark Office. The date of abandonment is the day after the
expiration date of the period set for reply in the Office notice or action plus any extensions of time actually
obtained.

APPLICANT HEREBY PETITIONS FOR REVIVAL OF THIS APPLICATION

NOTE: A grantable petition requires the following items:

- (1) Petition fee;
- (2) Reply and/or issue fee;
- (3) Terminal disclaimer with disclaimer fee -- required for all utility and plant
applications filed before June 8, 1995; and for all design applications; and
- (4) Statement that the entire delay was unintentional.

1. Petition fee

- ☐ Small entity - fee \$_____ (37 CFR 1.17(m)). Applicant claims small entity status. See 37 CFR 1.27.
- ☒ Other than small entity - fee \$1,500.00 (37 CFR 1.17(m))

2. Reply and/or fee

A. The reply and/or fee to the above-noted Office action in
the form of _____ (identify type of reply):

- ☐ has been filed previously on _____.
- ☒ is enclosed herewith.

B. The issue fee of \$ _____

- ☐ has been paid previously on _____.
- ☐ is enclosed herewith.

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 1.0 hour to complete. Time will vary depending upon the needs of the individual
case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S.
Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:
Assistant Commissioner for Patents, Washington, DC 20231.

09/29/2005 SZEWDIE1 00000016 09718097

01 FC:1453

1500.00 OP

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

3. Terminal disclaimer with disclaimer fee

- ☒ Since this utility/plant application was filed on or after June 8, 1995, no terminal disclaimer is required.
- ☐ A terminal disclaimer (and disclaimer fee (37 CFR 1.20(d)) of \$_____ for a small entity or \$_____ for other than a small entity) disclaiming a period equivalent to the period of abandonment is enclosed herewith (see PTO/SB/63).

4. Statement. The entire delay in filing the required reply from the due date for the required reply until the filing of a grantable petition under 37 CFR 1.137(b) was unintentional. [NOTE: The United States Patent and Trademark Office may require additional information if there is a question as to whether either the abandonment or the delay in filing a petition under 37 CFR 1.137(b) was unintentional (MPEP 711.03(c)(III)(C) and (D))].

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

9/26/05
Date

[Signature]
Signature

Telephone
Number: (202) 857-8902

Erik B. Cherdak, Reg. No. 39,936

Typed or printed name

1050 Conn. Ave., N.W., Suite 400

Address

Washington, DC 20036

Enclosures: ☒ Fee Payment

☒ Reply

☐ Terminal Disclaimer Form

☐ Additional sheets containing statements establishing unintentional delay

☐ _____

CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(A)]

I hereby certify that this correspondence is being:

☐ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box DAC, Washington, D.C. 20231.

☐ transmitted by facsimile on the date shown below to the Patent and Trademark Office at (703) 308-6916.

Date

Signature

Typed or printed name of person signing certificate



PATENT

Attorney Docket No. 026732.00011 (064.0001)

THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:)	
)	
Joseph A. GRUNDFEST <i>et al.</i>)	Examiner S. CANGIALOSI
)	
Serial No. 09/718,097)	Group Art Unit 3621
)	
Filed: November 22, 2000)	
)	
For: SYSTEM AND METHOD FOR)	
FACILITATING TRANSACTION)	
PROCESSING AND DISPOSITION)	
WITHIN AN ACCESS CONTROLLED)	
ENVIRONMENT VIA A GLOBAL)	
NETWORK SUCH AS THE INTERNET)	

**RESPONSE TO OFFICE ACTION MAILED SEPTEMBER 16, 2004, AND
ACCOMPANYING A PETITION TO REVIVE AN UNINTENTIONALLY
ABANDONED PATENT APPLICATION**

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

The U.S. Patent and Trademark Office (U.S.P.T.O) mailed a non-final Office Action in the above-titled patent application on September 16, 2004. The Applicants' representatives did not receive a copy of September 16, 2004, Office Action, and consequently, did not timely respond to the Office Action. On November 4, 2004, the Applicants' representatives filed a request for change of address. The U.S.P.T.O mailed a Notice of Abandonment in the above-titled patent application on May 10, 2005. The Applicants respectfully request that the U.S.P.T.O restart the time period for responding to the September 16, 2004, Office Action in view of the fact that Applicants' representative did not receive such Office Action. In the event that the U.S.P.T.O denies the Applicants' request to restart the time period for responding to the September 16, 2004, Office Action, the Applicants respectfully request that the U.S.P.T.O. grant the

Applicants' petition to revive an unintentionally abandoned patent application. The Applicants also respectfully request that the Examiner reconsider the above-titled patent application in view of the following:

Amendments to the Claims begin on page 2 of this paper.

Request for Reconsideration begins on page 14 of this paper.

Arguments/Remarks begin on page 15 of this paper.

Conclusion begins on page 16 of this paper.

<THIS SPACE IS LEFT BLANK INTENTIONALLY>

AMENDMENTS

In the Claims:

The listing of the claims found below replaces all prior versions and similar listings of claims in the above-titled patent application.

Listing of Claims:

1. (Original) A system for facilitating processing and disposition of a transaction within an access controlled environment, comprising:

an access control facility accessible via a global data processing network and configured to maintain user information, and to permit or deny a user to enter an access controlled environment within a data processing environment and to perform user operations within said access controlled environment;

a transaction management facility operable within said access controlled environment, coupled to said access control facility, and configured to store and maintain transaction data based on said transaction, said user operations, and a security scheme;

an authentication facility operable within said access controlled environment and configured to authenticate said transaction data based on an authentication scheme corresponding to said transaction; and

a billing facility configured to consolidate data related to internal operations performed by said access control facility, said transaction management facility, and said authentication facility to generate and process billing data and to send a billing notice to a responsible party via said global data processing network.

2. (Original) The system according to claim 1, wherein said global data processing network is the Internet.

3. (Original) The system according to claim 1, wherein said access control facility includes a user registration facility permitting a user to be registered based on predetermined registration criteria prior to permitting said user to access said access controlled environment.

4. (Original) The system according to claim 1, wherein said access control facility permits or denies access based on a user identifier and a user password.

5. (Original) The system according to claim 1, wherein said access control facility is further configured to notify said responsible party when a user is denied access to said access controlled environment.

6. (Original) The system according to claim 1, wherein said transaction management facility is configured to store and maintain said transaction data based on the type of said transaction.

7. (Original) The system according to claim 1, wherein said transaction management facility is further configured to generate internal tracking data corresponding to said user operations within said access controlled environment.

8. (Original) The system according to claim 1, wherein said transaction management facility further comprises at least one analysis tool configured to be used by said user to analyze said transaction data within said access controlled environment to facilitate disposition of said transaction.

9. (Original) The system according to claim 1, wherein said transaction management facility stores said transaction data in a plurality of formats corresponding to transaction party systems maintained by outside of said access controlled environment.

10. (Original) The system according to claim 1, wherein said security scheme corresponds to a predetermined data encryption scheme.

11. (Original) The system according to claim 1, wherein said security scheme is set by said user.

12. (Original) The system according to claim 1, wherein said security scheme is set automatically based on the type of said transaction.

13. (Original) The system according to claim 14, wherein said authentication scheme corresponds to rules of evidence.

14. (Original) The system according to claim 1, wherein said authentication scheme is established by said user.

15. (Original) The system according to claim 1, wherein said authentication scheme is automatically set by said authentication system based on the type of said transaction.

16. (Original) The system according to claim 1, wherein said authentication facility further authenticates said transaction data based said user's identity.

17. (Original) The system according to claim 1, wherein said authentication facility further authenticates said transaction data based biometric data related to said user.

18. (Original) The system according to claim 1, wherein said authentication facility further authenticates said transaction data based forensic data related to said transaction.

19. (Original) The system according to claim 1, wherein said authentication facility further authenticates said transaction data base on forensic data related to said user.

20. (Original) The system according to claim 1, wherein said authentication facility authenticates said transaction data prior to said transaction management facility storing and maintaining said data.

21. (Original) The system according to claim 1, wherein said authentication facility authenticates said transaction data after said transaction management facility stores and maintains said data.

22. (Original) The system authentication according to claim 1, wherein said facility requires said user to enter data related to said transaction data and authenticates said transaction data based upon said authentication data.

23. (Original) The system according to claim 1, wherein said billing facility generates a billing record related to said user operations within said access controlled environment.

24. (Original) The system according to claim 1, wherein said transaction management facility is further configured to automatically notify said user based upon a change to said transaction data.

25. (Original) The system according to claim 24, wherein said transaction management facility notifies said user via an automatically generated electronic mail message.

26. (Original) The system according to claim 25, wherein said automatically generated electronic mail message contains a reference to said transaction based on a predetermined level of vagueness.

27. (Original) A system for facilitating transaction processing and disposition within an access controlled environment, comprising:

an access control facility accessible via a global data processing network and configured to maintain user information and to permit or deny users to login into an access controlled environment maintained within a data processing environment, said user information including a profile relating to each user of said users, each said profile including a user-specific level of security;

a transaction management facility operable within said access controlled environment, coupled to said access control facility, and configured to store and maintain data related to a transaction involving at least one of said users based on a predetermined security level to facilitate disposition of said transaction within said access controlled environment, and to determine accessibility related to said data for said each user based on said each user's profile;

an authentication facility operable within said access controlled environment and configured to authenticate said data related to said transaction based on a predetermined authentication level set to correspond to said transaction;

a connectivity and communications facility coupled to said access control facility, said transaction management facility, and said authentication facility, said connectivity and communications facility configured to communicate with said access control facility, said transaction management facility, said authentication facility, and external transaction party systems to facilitate disposition of said transaction based on said data stored and maintained by said transaction management facility; and

a billing facility configured to consolidate data related to internal operations performed by said access control facility, said transaction management facility, and said

authentication facility to generate and process billing data and to send a billing notice to a responsible party via said global data processing network.

28-50 (Canceled).

51. (Original) A system for facilitating transaction processing and disposition within an access controlled environment, comprising:

a plurality of user systems, each user system generating and processing data related to a transaction involving a plurality of parties; and

a controlled access environment operating within a secure data processing system, said secure data processing system coupled to said plurality of user system via a global data processing network, said controlled access environment including a data store for storing and maintaining said data related to said transaction involving said multiple parties, an access control facility for permitting and denying said plurality of user systems to access said access controlled environment during the course of said transaction, an authentication system for authenticating said data within said data store, and a communications facility for notifying said user systems based on said data and for permitting said data processing system to securely interact with externally coupled systems to facilitate disposition of said transaction involving.

52-69. (Canceled).

70. (Original) A method for facilitating transaction processing and disposition within an access controlled environment, comprising the steps of:

at an access control facility accessible via a global data processing network, maintaining user information and permitting or denying a user to login into an access controlled environment maintained within a data processing environment;

at a transaction management facility coupled to said access control facility, storing and maintaining data related to a transaction based on a predetermined security level to facilitate disposition of said transaction within said access controlled environment;

at an authentication facility, authenticating said data related to said transaction based on a predetermined authentication level;

at a billing facility, consolidating data related to internal operations performed by said access control facility, said transaction management facility, and said authentication facility; and

at said billing facility, generating and processing said billing data and sending a billing notice to a responsible party via said global data processing network.

71-91. (Canceled).

92. (Original) A method for facilitating transaction processing and disposition within an access controlled environment, comprising the steps of:

at a user system operated by a user, accessing an access control facility via a global data processing network, said access control facility configured to maintain user information related to said user;

permitting or denying said user system operable access to an access controlled environment maintained within a data processing environment based on a profile related to said user including a user-specific level of security;

at a transaction management facility coupled to said access control facility and operating within said access controlled environment, storing and maintaining data related to a transaction involving said user based on a predetermined security level to facilitate disposition of said transaction within said access controlled environment, said transaction management facility determining accessibility related to said data for said user based on said user's profile;

at an authentication facility operating within said access control environment, authenticating said data related to said transaction based on a predetermined authentication level set to correspond to said transaction;

at a communication facility coupled to said access control facility, said transaction management facility said authentication facility, and operating within said access controlled environment, communicating with external systems to facilitate disposition of said transaction based on said data stored and maintained by said transaction management facility; and

at a billing facility operating within said access controlled environment, consolidating data related to internal operations performed by said access control facility, said transaction management facility, and said authentication facility, generating and processing billing data, and sending a billing notice based on said billing data to a responsible party via said global data processing network.

93-115. (Canceled).

116. (Original) A method for facilitating processing and disposition of a dispute involving a plurality of transaction parties within an access controlled environment, comprising the steps of:

 at an access control facility accessible via a global data processing network, creating and maintaining user security profiles related to said plurality of transaction parties;

 at said access control facility, permitting or denying a user to login into an access controlled environment maintained within a data processing environment based upon said user and at least one of said user security profiles corresponding to said user;

 if said user is permitted to login, at said access control facility, providing operative access to said user to a transaction management facility operating within said access controlled environment and configured to store and maintain data related to disputes;

 at said transaction management facility, permitting user to create, update and delete transaction data based on said dispute and a predetermined security level to facilitate disposition of said transaction within said access controlled environment;

 at an authentication facility, requiring said user to enter authentication data related to said transaction data in order to authenticate said transaction data based on a predetermined authentication scheme;

 at said transaction management facility, permitting said user to enter said authentication data;

 at said transaction management facility, notifying said user if a decision needs to be made based on said transaction data and/or said authentication data;

at said transaction management facility, allowing said user to enter a decision in order to dispose of said dispute;

at a communications facility, notifying said plurality of transaction parties of said decision via said global data network;

at a billing facility, consolidating data related to internal operations performed by said access control facility, said transaction management facility, and said authentication facility; and

at said billing facility, generating and processing said billing data and sending a billing notice to at least one of said transaction parties via said global data processing network.

117-136. (Canceled).

REQUEST FOR RECONSIDERATION

The Applicants respectfully request that the Examiner reconsider the above-captioned patent application in view of the foregoing amendments and the following remarks.

<THIS SPACE IS LEFT BLANK INTENTIONALLY>

REMARKS

1. Summary of the Rejections in the Office Action of September 16, 2004

At page 2, paragraph 1 of the Office Action, the Examiner rejects claims 1-136 under 35 U.S.C. § 112, ¶2, as allegedly being indefinite for failing to particularly point out and distinctly claim the subject matter which the Applicant regards as the invention. This is the only rejection in the above-titled patent application.

2. 35 U.S.C. § 112, ¶2 Rejections

At page 2, paragraph 1 of the Office Action, the Examiner rejects claims 1-136 under 35 U.S.C. § 112, ¶2, as allegedly being indefinite. Specifically, the Examiner asserts that “taken as a whole, the claims recite an undue multiplicity of claims by virtue of the unreasonable number of claims presented.” The Examiner also states “because the Examiner believes that in his judgement that twenty-five (25) claims are sufficient to properly define the Applicants’ invention, the Applicants are required to select certain claims, not to exceed twenty-five (25) for examination on the merits.

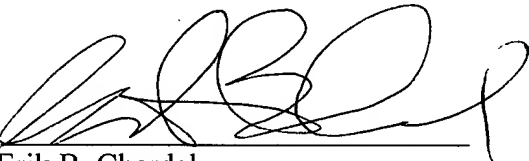
Applicants’ have canceled original claims 28-50, 52-69, 71-91, 93-115, and 117-136. Thus claims 1-27, 51, 70, 92, and 116 are pending and are subject to examination in the above-titled patent application. Applicants respectfully submit that thirty-one (31) claims are a reasonable number of claims in the above-titled patent application. Therefore, the Applicants respectfully request that the Examiner withdraw the indefiniteness rejection of claims 1-27, 51, 70, 92, and 116, and allow the same to issue in a U.S. patent.

CONCLUSION

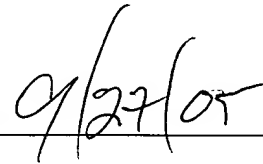
The Applicants respectfully submit that the above-titled patent application is in condition for allowance, and such action is earnestly requested. If the Examiner believes that an in-person or telephonic interview with the Applicants' representatives will expedite the examination of this application, the Examiner is invited to contact the undersigned attorney of record. The Applicants are enclosing a check in the amount of \$750.00 covering the requisite fee for a petition to revive an unintentionally abandoned patent application. Nevertheless, in the event of any variance between the fees determined the Applicants and those determined by the U.S. Patent and Trademark Office, please charge or credit any such variance to the undersigned's Deposit Account No. 01-2300, referencing Attorney Docket No. 026722.00015.

Respectfully submitted,

Arent Fox PLLC

By: 
Erik B. Cherdak
Registration No. 39,936

Arent Fox PLLC
1050 Connecticut Ave., N.W.
Suite 400
Washington, D.C. 20036-5339
Telephone No. (202) 857-8933
Facsimile No. (202) 857-6395

Dated: 

EBC/TJC:klf